

Retention and Classification Report

Agency: Department of Health. Division of Medicaid and Health Financing.
Bureau of Managed Health Care (138)
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Records Officer Craig Devashrayee

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AGENCY: Department of Health. Division of Medicaid and Health Financing.
Bureau of Managed Health Care

SERIES: 7834

3

TITLE: Administrative files

DATES: 1986-

ARRANGEMENT: Alphabetical by subject

DESCRIPTION:

These are the records accumulated by the bureau that relate to the function, internal administration, or housekeeping activities of the division. They include system performance reviews, information on staff meetings, policy and operation documents, and other records relating to the day-to-day activities of the office.

RETENTION AND DISPOSITION AUTHORIZATION:

These records are in Archives' permanent custody.

APPROVED: 11/1986

FORMAT MANAGEMENT:

The retention and disposition information on this schedule applies to the record copy which can be in any format. The record copy can include different formats. Format management information provided here is for the purpose of managing records that are being either stored by or transferred to Utah State Archives.

Paper: Retain in Office for 3 months or until no longer needed and then destroy.

Paper: Retain in Office for 2 years or until no longer needed and then destroy.

Paper: Retain in Office for 2 years and then transfer to State Records Center. Retain in State Records Center for 1 year and then transfer to State Archives with authority to weed.

APPRAISAL:

Administrative Historical

Records that document the activities of the division as a whole and show its policies, achievements, and activities are of long term value and should be retained. Documents of a routine nature should be weeded out and destroyed when they outlive their value.

Records under "1" include memoranda that do not serve as the basis of official actions, such as notices of holidays or charity and welfare fund appeals. Records under "2" relate to staffing,

AGENCY: Department of Health. Division of Medicaid and Health Financing. Bureau of Managed Health Care

SERIES: 7834

TITLE: Administrative files

(continued)

procedures, and communications; the day-to-day administration of office personnel; supplies and office services and equipment requests and receipts; and the use of office space and utilities.

AGENCY: Department of Health. Division of Medicaid and Health Financing.
Bureau of Managed Health Care

SERIES: 7835

3

TITLE: Administrative hearings files

DATES: 1985-

ARRANGEMENT: None

DESCRIPTION:

These are the files of persons who are aggrieved by any action or inaction of the division. The administrative hearing is the second step in a three step process. The aggrieved individual first has an informal hearing with the bureau involved. Should the individual disagree with the findings of the informal hearing, he may then request an administrative hearing with the Bureau of Contracts and Hearings. After this hearing, the individual has the right to go to district court. (UCA 26-23-2) These files include notice of informal hearing, notice of denial at informal hearing and of hearing rights, minutes of the administrative hearing, any supporting documentation provided, recommended determination and final determination of the hearing officer, and notice of result of hearing. Information includes the name, telephone number, address, and social security number of the client and the client's representative, the issue for which services or payment of services was denied, the reason for the denial, supporting medical or other information, the decision of the hearing officer, the dates of the hearings, the dates of the notifications, and the signatures of the hearing and approving officers.

RETENTION AND DISPOSITION AUTHORIZATION:

These records are in Archives' permanent custody.

FORMAT MANAGEMENT:

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Paper: Retain in Office for 1 year and then transfer to State Archives with authority to weed.

APPRAISAL:

Administrative Historical Legal

According to UCA 26-23-2(2), the individual requesting the hearing has 30 days after notice of the final decision to petition the district court for judicial review. A year retention

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SERIES: 7835

TITLE: Administrative hearings files

(continued)

will be sufficient to ensure that the records will be on hand when notice of the petition is received. If an individual takes this to court, the records will be pulled out of this file and made part of the legal file.

PRIMARY CLASSIFICATION:

Public The decisions of the administrative hearing judge.

SECONDARY CLASSIFICATION(S):

Private. All other information.

Controlled. Records involving medical assistance eligibility and abuse cases.

AGENCY: Department of Health. Division of Medicaid and Health Financing.
Bureau of Managed Health Care

SERIES: 7830

3

TITLE: Cancelled contracts file

DATES: 1985-

ARRANGEMENT: Alphabetical by name

DESCRIPTION:

These are contracts between the bureau and health care providers, Utah counties, consultants, equipment suppliers, CPA firms, publishing companies, and others whose contracts have been cancelled. These records include the name of the contractor, the contract period, the terms of the contract, the signatures of the authorizing officials, copies of bills received, and copies of warrant requests.

RETENTION AND DISPOSITION AUTHORIZATION:

These records are in Archives' permanent custody.

APPROVED: 11/1986

FORMAT MANAGEMENT:

The retention and disposition information on this schedule applies to the record copy which can be in any format. The record copy can include different formats. Format management information provided here is for the purpose of managing records that are being either stored by or transferred to Utah State Archives.

Paper: Retain in Office for 1 year and then transfer to State Records Center. Retain in State Records Center for 5 years and then destroy.

APPRAISAL:

Administrative Fiscal Legal

These records are subject to both state and federal laws. According to federal law, these records need to be kept for 3 years due to audit purposes. However, under UCA 78-12-23, a suit could be brought against the state for breach of contract. As a result, a longer retention period has been chosen. The in-office retention is set at 1 year as that is usually when the files are audited.

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SERIES: 7830

TITLE: Cancelled contracts file

(continued)

PRIMARY CLASSIFICATION:

Public

AGENCY: Department of Health. Division of Medicaid and Health Financing.
Bureau of Managed Health Care

SERIES: 7829

3

TITLE: Contract files

DATES: 1984-

ARRANGEMENT: Alphabetical by name

DESCRIPTION:

These are the files containing contracts that do not fall into the other categories. They include contracts for consultant services, for CPA firms to audit services, and to publishing companies, the name of the contractor, the contract period, the terms of the contract, the signatures of the authorizing officials, copies of bills received, and copies of warrant requests.

RETENTION AND DISPOSITION AUTHORIZATION:

These records are in Archives' permanent custody.

APPROVED: 11/1986

FORMAT MANAGEMENT:

The retention and disposition information on this schedule applies to the record copy which can be in any format. The record copy can include different formats. Format management information provided here is for the purpose of managing records that are being either stored by or transferred to Utah State Archives.

Paper: Retain in Office for 1 year after the contract expires and then transfer to State Records Center. Retain in State Records Center for 5 years and then destroy.

APPRAISAL:

Administrative Fiscal Legal

These records are subject to both state and federal laws. According to federal law, these records need to be kept for 3 years due to audit purposes. However, under UCA 78-12-23, a suit could be brought against the state for breach of contract. As a result, the longer retention period has been chosen. The in-office retention is set at 1 year after expiration, because the staff indicates that these are the records that have been reviewed by both state and federal auditors. No set retention period can be given because the contracts vary in length.

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SERIES: 7829

TITLE: Contract files

(continued)

PRIMARY CLASSIFICATION:

Public

AGENCY: Department of Health. Division of Medicaid and Health Financing.
Bureau of Managed Health Care

SERIES: 7832

3

TITLE: Correspondence files

DATES: 1980-

ARRANGEMENT: Alphanumerical by name and date

DESCRIPTION:

This is a complete set of all of the correspondence and memoranda generated by the bureau. It includes two sets of correspondence as well as a monthly index/summary sheet.

RETENTION AND DISPOSITION AUTHORIZATION:

These records are in Archives' permanent custody.

APPROVED: 11/1986

FORMAT MANAGEMENT:

The retention and disposition information on this schedule applies to the record copy which can be in any format. The record copy can include different formats. Format management information provided here is for the purpose of managing records that are being either stored by or transferred to Utah State Archives.

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Paper: Retain in Office for 3 months or until no longer needed and then destroy.

Paper: Retain in Office for 2 years or until no longer needed and then destroy.

Paper: Retain in Office for 2 years and then transfer to State Records Center. Retain in State Records Center for 3 years and then transfer to State Archives with authority to weed.

APPRAISAL:

Administrative Historical

The bureau keeps two copies of its correspondence. With the creation of a monthly index/summary, it should be possible to have only one file and still retrieve needed documentation. Therefore, one set should be disposed of. Correspondence documents the activities of the office and, after inconsequential letters and memoranda have been weeded out, should be retained permanently. Records under "1" include notices of holidays or charity and welfare fund appeals. Records under "2" relate to

AGENCY: Department of Health. Division of Medicaid and Health Financing. Bureau of Managed Health Care

SERIES: 7832

TITLE: Correspondence files

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staffing and communications; supplies and office services and equipment requests and receipts; and the use of office space and utilities.

PRIMARY CLASSIFICATION:

Private

AGENCY: Department of Health. Division of Medicaid and Health Financing.
Bureau of Managed Health Care

SERIES: 7827

3

TITLE: Hospital provider agreements

DATES: 1984-

ARRANGEMENT: Alphabetical by provider name

DESCRIPTION:

These are agreements between the state and hospitals by which the latter agree to abide by the requirements of the medicaid program in order to receive medicaid funding. These agreements are required by 42 CFR 431.107. These records include the name and address of the provider, the terms of the agreement, the period of the agreement, the signatures of the authorized officials, copies of bills received from the provider, and copies of warrant requests.

RETENTION AND DISPOSITION AUTHORIZATION:

These records are in Archives' permanent custody.

APPROVED: 11/1986

FORMAT MANAGEMENT:

The retention and disposition information on this schedule applies to the record copy which can be in any format. The record copy can include different formats. Format management information provided here is for the purpose of managing records that are being either stored by or transferred to Utah State Archives.

Paper: Retain in Office for 1 year after the contract expires and then transfer to State Records Center. Retain in State Records Center for 5 years and then destroy.

APPRAISAL:

Administrative Fiscal Legal

These records are subject to both state and federal law.

According to federal law, these records need to be kept for 3 years due to audit purposes. However, under UCA 78-12-23, a suit could be brought against the state for breach of contract. As a result, the longer retention period has been chosen. The in-office retention is set at one year after expiration because the staff indicates tat these are the records that have been reviewed by both state and federal auditors. No set retention period can be given because the contracts vary in length.

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SERIES: 7827

TITLE: Hospital provider agreements

(continued)

AGENCY: Department of Health. Division of Medicaid and Health Financing.
Bureau of Managed Health Care

SERIES: 7831

3

TITLE: Legal files

DATES: 1985-

ARRANGEMENT: None

DESCRIPTION:

These are duplicate copies of records of legal cases brought by or against the division. These copies are sent to the bureau from the Attorney General's office for informational purposes. They also partially function as a backup should anything happen to the Attorney General's records. These records include cases involving fraud and appeals of the decisions of the administrative hearing officer.

RETENTION AND DISPOSITION AUTHORIZATION:

These records are in Archives' permanent custody.

APPROVED: 11/1986

FORMAT MANAGEMENT:

The retention and disposition information on this schedule applies to the record copy which can be in any format. The record copy can include different formats. Format management information provided here is for the purpose of managing records that are being either stored by or transferred to Utah State Archives.

Paper: Retain in Office until the related case has been resolved and then destroy.

APPRAISAL:

Administrative Legal

This file has administrative value in keeping the division informed as to what is happening on the case in which they are involved. Once the case has been settled, the official records will be kept by the Attorney General's office and may be disposed of by the bureau.

AGENCY: Department of Health. Division of Medicaid and Health Financing. Bureau of Managed Health Care

SERIES: 7831

TITLE: Legal files

(continued)

PRIMARY CLASSIFICATION:

Private

AGENCY: Department of Health. Division of Medicaid and Health Financing.
Bureau of Managed Health Care

SERIES: 24944

3

TITLE: Medicaid restriction case files

DATES: 2000-

ARRANGEMENT: Alphabetical by client last name

ANNUAL ACCUMULATION: 10.00 cubic feet.

DESCRIPTION:

These records support the agencies function to monitor against unnecessary or inappropriate use of Medicaid services (42 CFR 456.3 (2001)). Records document the monitoring of Medicaid recipients whose use of program benefits warrants closer examination. Records are used to determine if there is inappropriate or excessive use of the program benefits by the recipient. Information includes personal identifiable information, identifiable public health data, as well as the name and location of the health care provider and pharmacy.

RETENTION:

Retain 5 years after case is closed.

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series were specifically approved by the State Records Committee.

APPROVED: 04/2003

FORMAT MANAGEMENT:

The retention and disposition information on this schedule applies to the record copy which can be in any format. The record copy can include different formats. Format management information provided here is for the purpose of managing records that are being either stored by or transferred to Utah State Archives.

Paper: For records beginning in 2000 through 2015. Retain in Office for 5 years after case is closed and then destroy.

Computer data files: For records beginning in 2015 and continuing to the present. Retain in Office for 5 years after case is closed and then delete.

AGENCY: Department of Health. Division of Medicaid and Health Financing. Bureau of Managed Health Care

SERIES: 24944

TITLE: Medicaid restriction case files

(continued)

APPRAISAL:

Administrative

PRIMARY CLASSIFICATION:

Controlled 63G-2-304(1)(2008)

AGENCY: Department of Health. Division of Medicaid and Health Financing.
Bureau of Managed Health Care

SERIES: 7828

3

TITLE: Utah medical assistance program county contracts

DATES: 1984-

ARRANGEMENT: Alphabetical by county name

ANNUAL ACCUMULATION:

DESCRIPTION:

These are contract files between the state and county governments by which the Department of Health agrees to assume the responsibility for making medical, hospital, or other medical expenditures for low income individuals who are not eligible for medicaid or medicare. These contracts are authorized by UCA 26-18-10(6). These records include the name of the county, the contract period, the terms of the contract, the signatures of the authorizing officials, copies of bills received, and copies of warrant requests.

RETENTION AND DISPOSITION AUTHORIZATION:

These records are in Archives' permanent custody.

APPROVED: 11/1986

FORMAT MANAGEMENT:

The retention and disposition information on this schedule applies to the record copy which can be in any format. The record copy can include different formats. Format management information provided here is for the purpose of managing records that are being either stored by or transferred to Utah State Archives.

Paper: Retain in Office for 1 year after the contract expires and then transfer to State Records Center. Retain in State Records Center for 5 years and then destroy.

APPRAISAL:

Administrative Fiscal Legal

These records are subject to both state and federal laws. According to federal law, these records need to be kept for 3 years due to audit purposes. However, under UCA 78-12-23, a suit could be brought against the state for breach of contract. As a result, the longer retention period has been chosen. The in-office retention is set at one year after expiration because the staff indicates that these are the records that have been reviewed by both state and federal auditors. No set retention period can be given because the contracts vary in length.

AGENCY: Department of Health. Division of Medicaid and Health Financing. Bureau of Managed Health Care

SERIES: 7828

TITLE: Utah medical assistance program county contracts

(continued)